



GOVERNOR'S OFFICE OF EMERGENCY SERVICES
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION

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March 19, 2007

To: PROJECT DIRECTORS
American Indian Child Abuse Treatment (AICHA) Program

Subject: REQUEST FOR APPLICATION (RFA)

The Governor's Office of Emergency Services (OES) is pleased to announce the release of the enclosed American Indian Child Abuse Treatment (AICHA) Program Request for Application (RFA). This program is made available through federal Victim of Crime Act (VOCA) funds.

The grant period will begin October 1, 2007 and end September 30, 2008. OES is anticipating allocating approximately \$875,000 to this program for FY 2007/08. When completing your application, please ensure you are requesting allowable VOCA costs. Use your most current approved budget from FY 2006/07 as a guide. If you are unsure of your most current approved budget, please request this information from your Program Specialist and a copy of the budget will be faxed to you.

Based on the final amount of federal VOCA funds allocated to our office and the history of your agency spending the allocation of VOCA funds in a timely manner within the grant award period, OES reserves the right to decrease the maximum amount of funds awarded per project. Please note: continuation funding is contingent on passage of the 2007 State Budget Act, availability of the federal VOCA funds, and successful project performance and compliance with the grant award agreement.

To receive continued funding in FY 2007/2008, it is necessary to complete and return the attached application package by **Monday, June 4, 2007**. Instructions for sending or hand delivering the application are included in the RFA. **Please bring a copy of this application to the AICHA Program Project Directors' Meeting scheduled for March 20-21; we will have a workshop dedicated to assist you in completing the forms.**

Should you have questions or need further information, contact Roseann St. Clair at (916) 323-7729.

Sincerely,

GILLSA MILLER, Chief
Children's Section

Enclosed

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**AMERICAN INDIAN CHILD ABUSE TREATMENT PROGRAM
REQUEST FOR APPLICATION**

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www.oes.ca.gov/Operational/OESHome.nsf/CJPDHome?OpenForm

[APPLICATION CHECKLIST AND REQUIRED SEQUENCE](#)

[APPLICATION COVER SHEET](#)

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**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**AMERICAN INDIAN CHILD ABUSE TREATMENT (AICHAT) PROGRAM
REQUEST FOR APPLICATION**

PART I – INFORMATION

A. INTRODUCTION

This Request for Application (RFA) provides the information and forms necessary to prepare an application for the Governor's Office of Emergency Services (OES) grant funds. The terms and conditions described in this RFA supersede previous RFAs and conflicting provisions stated in the *Recipient Handbook*. The *Recipient Handbook* provides helpful information for developing the application and can be accessed at www.oes.ca.gov by selecting "*Recipient Handbook Appendices and Forms*."

B. CONTACT INFORMATION

Questions concerning this RFA, the application process, or programmatic issues should be submitted to the below contact person by telephone or e-mail.

Specialist name:

E-mail address:

Telephone number:

Roseann St. Clair

roseann.stclair@oes.ca.gov

(916) 323-7729

C. APPLICATION DUE DATE AND SUBMISSION OPTIONS

One original and one copy of the application must be delivered to OES' Law Enforcement and Victim Services Division by the date and time indicated below. Submission options are:

1. Regular and Overnight mail, **postmarked by MONDAY, JUNE 4, 2007**, to:

Governor's Office of Emergency Services
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: AMERICAN INDIAN CHILD ABUSE TREATMENT PROGRAM RFA – Children's
Section

2. Hand delivered by **5:00 p.m. MONDAY, JUNE 4, 2007**, to:

Governor's Office of Emergency Services
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: AMERICAN INDIAN CHILD ABUSE TREATMENT PROGRAM RFA – Children's
Section

D. AUTHORITY, SUB RECIPIENT ELIGIBILITY AND STAFF AND VOLUNTEER REQUIREMENTS

1. Legislative Authority

The Federal Victims of Crime Act (VOCA) of 1984, Public Law 98-473, Victim Compensation and Assistance Act, as amended, 42 USC §§ 10601-10607; Victims of Child Abuse Act, as amended, 42 USC §13001, et seq., authorizes the use of federal funds for direct services to child victims. The source of revenue for this fund comes from the collection of fines and restitution levied under federal law against individuals and organizations convicted of federal crimes. OES has state statutory authority over these funds, which are subject to federal appropriation and annual approval in the State Budget Act.; the selection criteria and funding decisions for the federal VOCA funds is vested with OES' Executive Director.

Funds supporting the AICHAT Program are restricted to the provision of direct services.

2. Administrative Authority

OES, through the Law Enforcement and Victim Services Division, Victim Services Branch, Children's Section, is the administrative agency for the American Indian Child Abuse Treatment (AICHAT) Program. The role of the Children's Section is to develop, implement, oversee, and monitor the program. These activities include: establishing policies dealing with the operation and direction of the program; overseeing the projects selected for funding; evaluating program effectiveness; and reporting the program's progress and accomplishments to the federal government via an annual VOCA federal report.

3. Sub Recipient Eligibility and Staff Requirements

The AICHAT Program sub recipients funded in Federal Fiscal Year (FFY) 2006/07 are the only agencies eligible to apply for continuation funding. It is anticipated approximately \$875,000 will be allocated to this program for FFY 2007/08. **Please note:** continuation funding is contingent on the passage of the 2007 State Budget Act, availability of the federal VOCA funds, successful sub recipient performance, and compliance with the grant award agreement.

Only American Indian tribes or consortium of tribes located on a reservation or in the catchment area as defined by the Bureau of Indian Affairs, or American Indian organizations providing services in urban communities, were eligible to apply during the spring of 2004 when the AICHAT Program Request for Proposal (RFP) was released. The applicants had to be an established and financially solvent agency with a history of providing ongoing mental health services to American Indian child victims of abuse and neglect. Funds from the AICHAT Program were to be used to enhance already existing services for American Indian victims of child abuse.

OES program staff designed the AICHAT Program to provide psychotherapy or culturally centered services to American Indian child victims of abuse by the most qualified clinicians or cultural therapists who not only had the education but also the experience working with this population. During the initial review and rating of the 2004 AICHAT Program proposals, sub recipients designing the clinical services employing the highest qualified licensed clinicians received higher points. However, due to difficulties experienced thereafter by some funded sub recipients having difficulties recruiting and/or retaining licensed or licensed eligible clinicians, the following is the revised criteria set forth for the RFA in 2007 in the

order of the most qualified clinical staff are to provide psychotherapy services should the sub recipient continue to elect to provide the traditional psychotherapy services:

- a) The AICHAT Program must have as clinical staff at least one Licensed Psychologist with a Doctorate Degree in Psychology and in good standing with the California Board of Psychology, a Licensed Clinical Social Worker, and/or Marriage and Family Therapist in good standing with the California Board of Behavioral Sciences. The licensed clinicians must be experienced at providing therapy to children and must be the primary provider of mental health services to the AICHAT Program child clients;

and/or

- b) OES recognizes a licensed-eligible staff as one who has completed the qualifying hours and courses for licensure, is waiting to take the licensure examination, and is registered with the respective discipline's Board (e.g., California Board of Behavioral Science). Licensed-eligible staff may fulfill the above qualifications for the AICHAT Program clinical staff if the sub recipient is unable to secure the above stated licensed clinical staff. The sub recipient must ensure the licensed-eligible staff is supervised by a licensed clinician who has met the supervisory training requirements, and who must follow all of the requirements set forth by the licensed-eligible staff's respective Board;

and/or

- c) If the sub recipient is unable to secure a licensed or licensed-eligible clinical staff as described above in items a) and b), OES will allow the use of post-graduate (MSW, MFT, PH.D.) staff who are registered interns with the respective discipline's Board, who have completed the required qualifications as set forth by the respective discipline's Board, and who are now fulfilling the supervised required hours as well as all the requirements set forth by the discipline's respective Board. The sub recipient must ensure the registered intern staff is supervised by a licensed clinical who has met the supervisory training requirements and who must follow all of the requirements set forth by the registered intern's respective Board. Registered intern staff should have at a minimum two years experience providing treatment related services to abused children;

and/or

- d) OES recognizes culturally centered therapy provided by a licensed or non-licensed therapist based on traditional culturally centered therapy is allowable. This service must be provided within acceptable cultural practices approved by the project's Board of Directors, and must also be approved by OES. If the applicant (now sub recipient) decided to implement both types of therapy, there had to be a plan to coordinate service delivery among all the treatment service providers. The sub recipient must collaborate in the assessment, service plan development, ongoing service provision, periodic review of the child's progress, and termination of services.

and/or

- e) For sub recipients unable to secure a licensed clinician paid by the AICHAT Program to provide supervision to unlicensed staff, OES will allow the sub recipient to subcontract out for this service.

4. Project Staff and Volunteer Selection

AICHAT Program staff and volunteers cannot have contact with children of the AICHAT Program until a background check has been completed and the individual designated by the agency has reviewed the results. If a background check results in a finding, however insignificant, the individual cannot provide services through the AICHAT Program. The following must be completed:

a) Written Application and Reference Checks

A formal application, including three references checked by agency's program administrators and/or designated staff must be completed.

b) Criminal Background Checks

A criminal background check on staff and volunteers must be completed prior to contact with children receiving services. The criminal background check includes fingerprinting and processing through the Department of Justice.

If AICHAT Program staff and volunteers have resided in California less than three years, out-of-state criminal history check (FBI check) is also required. For information on guidelines please go to the Attorney General's Office website at: [//caag.state.ca.us/fingerprints/agencies.htm](http://caag.state.ca.us/fingerprints/agencies.htm).

c) Child Abuse Central Index Checks

A check of the child abuse central index must be completed prior to contact with children receiving services. The Department of Justice can provide you with information as to how to complete this check.

d) Department of Motor Vehicles Checks

A check of the Department of Motor Vehicles records must be completed for staff and volunteers who will drive a car where child victims, siblings, and their non offending family members and/or care providers are being transported.

5. Training Required Prior to Client Contact

The AICHAT Program staff and volunteers who provide face-to-face services to the child abuse victims and who do not have up to two years of experience or training working with child abuse victims are required to complete at least 40 hours of training which must include topics on, but not limited to:

- a.) Crisis intervention;
- b.) Behavioral issues of children exposed to violence and those who have experienced abuse and/or neglect;
- c.) Identifying and reporting child abuse and neglect; and
- d.) Issues relating to abused children with disabilities.

6. Supervision of Volunteers

Direct supervision by a professional staff with expertise in the delivery of direct services to child abuse victims is required.

7. Personnel Records

The agency and subcontractors must have personnel records on project staff and volunteers which should include, but not limited to:

- a) Copies of licenses and degrees;
- b) Documentation of special training specific to the services performed on this grant;
- c) Documentation of supervised hours;
- d) Substantiation of what makes the supervisor knowledgeable in the dynamics of child abuse; and
- e) Documentation of the completion of background checks/clearances including the results and applicable waivers such as:
 - Written application and reference checks;
 - Department of Justice Criminal History Check and Clearance;
 - Child Abuse Central Index Check;
 - Department of Motor Vehicles Clearance;
 - OES approved waivers, if applicable;
 - Copy of signed mandated reporter; and
 - Copy of the signed confidentiality agreement.

Personnel files must be made available for review by OES' program staff during a technical assistance visit, site visit, and/or monitoring visit of the AICHAT Program. However, OES staff does not have the legal authority to review the criminal clearances, child abuse central index check, and DMV results. OES staff can only ask if these were completed and, based on the response of the project's project or executive director, make a determination of being in compliance or not.

E. FUNDS

FFY 2007/08 is the fourth year of a continuous funding cycle. The 12-month grant period will begin **October 1, 2007** and end **September 30, 2008**.

A match of cash and/or in-kind contribution derived from other resources is a requirement. The match required is either five percent (5%) or twenty percent (20%) and must be calculated based on the total project cost as opposed to the "percent of allocation" method. Funds designated as match are restricted to the same uses as VOCA funds. **Federal monies must not be used to meet the match requirement.**

The funding chart below identifies the funding level and required match for each of the eligible sub recipients.

SUB RECIPIENT AWARD NUMBER	SUB RECIPIENT	TOTAL VOCA FUNDS	5% MATCH	20% MATCH	TOTAL PROJECT COST
NA07048532	American Indian Child Resource Center	\$125,000		\$31,250	\$156,250
NA07041600	Bay Area American Indian Council	\$125,000		\$31,250	\$156,250
NA07041660	Feather River Tribal Health, Inc.	\$125,000	\$6,579		\$131,579
NA07041602	Indian Health Council, Inc.	\$125,000	\$6,579		\$131,579
NA07041601	Indian Child Welfare Consortium	\$125,000	\$6,579		\$131,579
NA07041445	Karuk Tribe of California, Inc.	\$125,000	\$6,579		\$131,579
NA07041767	United American Indian Involvement, Inc.	\$125,000		\$31,250	\$156,250

F. PROGRAM INFORMATION

It is important to recognize the unique legal and political relationship American Indian Tribes have with the United States Government. Federal treaties, statutes, and Supreme Court decisions define this relationship.

The Indian Child Welfare Act (ICWA) is based on the finding in 25 U.S.C. Section 1901(5) Congress found “the States, exercising their recognized jurisdiction over American Indian child custody proceedings through administrative and judicial bodies, have often failed to recognize the essential Tribal relations of American Indian people and the cultural and social standards prevailing in American Indian communities and families.”

There are two important, but distinct considerations underlying the provisions of ICWA and the federal best interest standard making application of the Act important to all American Indian children: a) cultural considerations; and b) political status.

The cultural considerations are the concerns for Tribal culture and heritage. The Act acknowledges a special relationship between Tribes and the federal government and seeks to protect essential Tribal relations. The nature of these relationships, both between Tribes and the federal government, and between the Tribes and their members, are based on more than cultural considerations.

American Indian members of Tribes are also separate political groups. American Indian Tribes stand in a government-to-government relationship with the United States.

County child welfare services in California are the primary statewide intervention program for abused, neglected, and exploited children. The service components provided by child welfare

services are emergency response, family maintenance, family reunification, and permanent placement. The goal is to protect children at risk of abuse, neglect, and exploitation through an integrated services delivery system, and to provide intensive services to families to ensure safety and permanence to allow the family members to remain together in their own home.

Emergency response consists of 24-hours a-day in-person coverage to respond to reports of abuse, neglect, or exploitation of children to investigate and determine the necessity for providing services. Between the years 2000 – 2003, the child population in California was estimated at 9,800,000; according to the *Child Welfare Services/Caseload Management System (CWS/CMS) – California Department of Social Services – Research and Development – Data Analysis and Publications (July 2003)*, 70,694 children were referred for emergency response services. The breakdown of these referrals were: 25,759 for general neglect; 12,886 for physical abuse; 7,257 for emotional abuse; 7,167 were at risk due to sibling abused; 6,011 for sexual abuse; 4,789 due to caregiver absence or incapacitation; 4,681 due to substantial risk; 2,007 for severe neglect; and 137 for exploitation.

The reason for children entering out-of-home placement (foster care) is primarily due to neglect and physical abuse. A high number of these children suffer from mental health conditions and have multiple needs due to the abuse and neglect experienced at home, the trauma of being separated from their parents, and the uncertainty they face entering the foster care system. The incidence of emotional and behavioral problems and developmental delays are high and several times greater among foster children in comparison with children not in foster care. Since most services are limited or lacking altogether, this population's primary barrier is access to mental health services. Another barrier is proper diagnosis; many children are diagnosed improperly, or not diagnosed at all. The diagnosis impacts treatment and access to services. The lack of coordination among mental health, child welfare, juvenile justice, and other child agencies, affects the ability of children in foster care to get effective services. (*Overview of California's Foster Care: Foster Care Fundamentals, California Research Bureau, California State Library, December 2001.*)

However, the majority of the children in the child welfare system are not in foster care. Statewide, county social workers investigate over half a million reports of child abuse and neglect each year; approximately a quarter are substantiated. In cases where reports are substantiated, social workers provide services to most families while the child remains at home. The child welfare and foster care systems cannot serve children and families in isolation. Health, mental health, substance abuse, education, public welfare, family violence, and other systems play essential roles in ensuring the child's safety and strengthening families. However, there are often conflicting goals and timelines among systems, and many services are in short supply or lacking altogether. (*Overview of California's Foster Care: Foster Care Fundamentals, California Research Bureau, California State Library, December 2001.*)

Based on a survey dated in 2000, the California Department of Health Services (CDHS), Women's Health Project, reported about six percent (6%) of California's women (approximately 700,000) have been victims of domestic violence. During FY 2000/01, 79,683 women reportedly obtained intervention services, and 20,056 children accompanied these women. (*Department of Health Services-State Funded Shelters 2000-2001.*) The 1998 report by the California Women's Health Survey administered by the CDHS, included questions about a woman's relationship with her intimate partner in the previous twelve months. About seventy-five percent (75%) of women who responded "yes" to domestic violence related questions, had children under age 18 residing at home. (*The Prevalence of Domestic Violence in California, California Research Bureau, California State Library, November 2002.*)

Children who witness domestic violence often manifest maladaptive behaviors, conduct disorders, adjustment disorders, oppositional defiant disorders, mood disorders, and poor academic

performance. Family violence contributes to many social, educational, and health problems. In homes where there is domestic violence, there is usually violence against children.

The high prevalence of children witnessing domestic violence, with the co-occurrence of other types of abuse, suggests safety issues. Issues inherent of domestic violence must be integrated as a standard consideration in child abuse treatment programs. In accordance with Penal Code Section 13732, agencies offering services to child abuse and domestic violence victims should collaborate in order to improve and integrate service delivery to families experiencing violence. Agencies should also collaborate in the manner in which law enforcement, child welfare agencies, prosecution, child abuse and domestic violence experts, and community-based organizations respond to incidents of domestic violence in homes in which children reside.

1. Clients to be Served

The sub recipient must provide comprehensive psychotherapy services to American Indian children, with emphasis on underserved children which include children who are dependents of the court and children in the child welfare system, regardless of race, ethnicity, language, or religion, under the age of 18 who are victims of abuse, neglect, domestic violence, school violence, community violence, abduction, and who do not have access to services due to non-availability of services, lack of resources, lack of mental health insurance, and non-eligibility for other program or services. Underserved children are those child victims who are non-English speaking, with disabilities, of racial or ethnic minorities, or residing in remote rural areas, or crime-ridden poverty stricken urban areas.

2. Child Abuse and Neglect Categories

Complete definitions can be found in the AICHAT Progress Report (*Attachment A*) and include, but not limited to, the following categories: physical; sexual; sexual exploitation; unlawful sexual intercourse; willful cruelty or unjustifiable punishment; unlawful corporal punishment or injury; emotional; abandonment; domestic violence; child maltreatment in the community; child abduction; severe neglect; general neglect; and trauma.

3. Mandated Program Objectives

The sub recipient must incorporate into the AICHAT Program the four measurable mandated objectives:

a) Provide Psychotherapy Services

The main goal of the AICHAT Program is for agencies to provide psychotherapy services to the American Indian child client by the most qualified and experienced licensed clinical staff. For the purpose of the AICHAT Program, this means intensive psychotherapy provided on an outpatient basis to American Indian child victims. Psychotherapy includes individual treatment with adjunct child specific group treatment when appropriate. Group treatment must not be the only method of psychotherapy provided to a child; each child attending a group must also be seen individually by a clinical staff who evaluates the child's case plan and periodically assesses if child group treatment is still the appropriate course of treatment.

Please Note: Psychotherapy services are not allowable services funded via the AICHAT Program for non-offending parents and/or care providers.

Psychotherapy should be center-based as opposed to home-based due to issues related to psychological boundaries and liability. However, there are situations when treatment

services at home is the best avenue (e.g., when treatment is for a child with disability with limited mobility; or when the primary custodian of the child may have a disability and cannot easily transport the child to therapy services in the AICHAT Program office, and/or due to the remote location where the child lives). When this is the situation, a sub recipient must address this issue in the application and present a plan addressing accessibility concerns for children and families with disabilities and/or residing in remote areas. If this is not a need by the sub recipient at the time of the initial application, at a later date when the selected project finds this to be a need for some of its client, the project staff must request approval from OES program manager **prior** to providing therapy at home via a modification request (OES 223).

Please Note: VOCA funds do not fund child abuse prevention services or services to families who are at-risk for abusing their children.

and/or

Culturally Centered Therapy

The sub recipient may provide culturally centered therapy within acceptable cultural practices and approved by its Board of Directors and OES. Culturally centered therapy includes, but is not limited to:

- Basket weaving;
- Regalia-making;
- Summer day camp (camp which prepares the children for the ceremonies and to promote cultural healing);
- Sweat lodge;
- Song;
- Talking stick;
- Pow Wows; and
- Storytelling.

b) Assistance in Providing Information on Crime Victim Compensation Services

Assistance is to be provided by sub recipient agency staff to American Indian child victims who may be eligible to seek victim compensation benefits. Staff should provide information to American Indian child clients on the availability of the Victim Compensation Program (VCP), explaining the procedure, and referring the American Indian child client to the local victim/witness assistance center. *It is not the AICHAT Program sub recipient's staff role or duty to determine eligibility or to complete victim compensation claim applications.*

Please Note: American Indian child victims are **not eligible** to submit claims to the VCP for reimbursement of psychotherapy services received under the AICHAT Program. If an American Indian child victim is approved for VCP benefits for therapy, the American Indian child victim may no longer receive psychotherapy services provided by the AICHAT Program and funded by VOCA. However, other supportive services under the AICHAT Program are still available to the American Indian child victim. Once the VCP benefits are exhausted, the American Indian child victim may once again receive psychotherapy services under the AICHAT Program.

Information Only: the California Victim Compensation and Government Claims Board (VCGCB) administers the VCP. This program is available to aid individuals who have been victims of a crime and can be a valuable resource to crime victims who wish to obtain outpatient psychotherapy services to ameliorate the effects of the crime. A **qualifying crime** is a crime in which there is threat of physical injury or death. Child abuse and domestic violence are generally qualifying crimes. A child witnessing incidents of domestic violence may qualify as a direct victim. Usually a custodial parent or legal guardian must file the application on behalf of a child victim. A child who is a dependent of the court may qualify for the VCP if he/she is the victim of a qualifying crime. The dependent child's social worker or another person designated by the court may submit an application to the VCP. The VCGCB makes the determination of the claim.

c) Assistance in Understanding and in Helping the Child to Prepare for Participating in the Criminal Justice System

As a way to meet the requirements of Objectives b) and c), assistance is to be provided to American Indian child victims by the AICHAT Program sub recipient agency staff by referring the American Indian child victim to the local victim/witness assistance center for the staff at the center to assist the American Indian child victim in applying for VCP benefits as well as to assist the child in understanding the criminal justice system and preparing the child to attend court proceedings.

Information Only: The following are mandatory services of the county's victim/witness assistance center and respond to the basic rights and needs of victims and witnesses:

1. Crisis Intervention
2. Emergency Assistance
3. Resource and Referral Assistance
4. Direct Counseling
5. Victim of Crime Claims
6. Property Return
7. Orientation to the Criminal Justice System
8. Court Escort
9. Presentations and Training for Criminal Justice Agencies
10. Public Presentations and Publicity
11. Case Status/Case Disposition
12. Notification of Family/Friends
13. Employer Notification/Intervention
14. Restitution

Please Note: As part of the required AICHAT Program RFA documentation the sub recipient agency **must** submit to OES the fully executed Operational Agreement (OA) with its local victim/witness assistance center (see *Attachment B*). The OA must have original signatures from the sub recipient agency's authorized person to sign the AICHAT Program Grant Award Agreement and by the victim/witness assistance center person authorized to sign as designated by the center and must cover the current grant cycle.

d) Use of Volunteers

The sub recipient **must** utilize volunteers in the AICHAT Program who are trained in working with American Indian child victims of abuse unless there is a compelling reason to waive this requirement. Volunteers may provide support and advocacy services by working increments of time to add up to at least one full-time equivalent (1 FTE).

Written waiver requests documenting the basis for the waiver must be submitted with the application presenting a compelling reason why the volunteer requirement may not be met. OES will review the waiver and make a determination if sufficient justification exists to grant the waiver.

If volunteers cannot be recruited specifically for the AICHAT Program, volunteers from other parts of the agency who are providing volunteer services may be counted as the volunteer requirement, as long as the services they are providing fall within VOCA allowable services

Court Appointed Special Advocates (CASA) volunteers cannot be used to fulfill the volunteer requirement, the match requirement, or other staff requirement of the AICHAT Program sub recipient.

4. Provision of Direct Services

The sub recipient must provide comprehensive services to American Indian child victims and to secondary victims such as minor siblings, inclusive of outreach; intake; crisis intervention; individual psychotherapy and group mental health counseling; meeting with the child's non-offending family member and/or caregiver in order to help he/she assist with therapeutic services for the child; case management; information and referral services; assistance in providing information on crime victim compensation services and assistance in understanding and helping the child prepare to attend criminal justice procedures by **referring** the child client to the local victim/witness assistance center; and transportation services for the child victim and non-offending family member and/or caregiver. Please adhere to the following:

a) The sub recipient cannot charge child victims for services under the AICHAT Program; services are to be free to victims.

b) Mental Health Services

The sub recipient must ensure the mental health services are provided in a culturally sensitive and competent manner. Cultural definitions of family and what constitutes appropriate family dynamics, roles, and childrearing methods, can vary widely. There may be a great deal of within-group cultural variations due to acculturation, racial identity, language, as well as intergenerational issues. It is essential individuals working with child victims be especially aware of cultural issues and how these affect family dynamics. Agency staff must have the ability to communicate with individuals from various cultures regarding cultural expectations, practices, and traditions. To this end, professional development in the form of written information, in-service training, and consultation with other mental health professionals is recommended if the professional staff does not reflect the multi-languages and multi-cultures existing in the service area.

c) Children with Disabilities

The sub recipient must accommodate and provide children with disabilities access to its services. Children with disabilities are at higher risk for becoming victims of all types of abuse when compared with children who do not have disabilities. The abuse inflicted upon this population is often more chronic and severe with revictimization often caused by the same offender.

Developmental disabilities are defined as certain impairments occurring in childhood having a significant impact on a child's developmental process and progress. The term

means a disability originating before an individual attains age 18, continues, or can be expected to continue indefinitely, and constitutes a substantial disability for the individual. It includes, but not limited to: mental retardation, cerebral palsy, epilepsy, autism, communication, language and speech impairments, hearing impairment, deafness, vision impairment, and blindness.

Some children become disabled as a direct result of the abuse. Although children with disabilities are victimized at rates far exceeding those for other children, they are less likely to have their cases substantiated and much less likely to be referred for psychotherapy. The family may not believe a child with a disability can benefit from psychotherapy, may be unaware of funding sources, or may lack knowledge about referral resources. It is important for child advocates to be aware in ninety-nine percent (99%) of abuse cases of children with disabilities, the perpetrator is known to and trusted by the child and the family; this is in contrast to approximately eighty-seven percent (87%) for children without disabilities. Issues of safety, trust, and abandonment are more significantly affected. (*Standards of Care – Mental Health Care – Task Force for Child Crime Victims Guidelines – California Victims Compensation and Government Claims Board, 2001.*)

Agencies must comply with the Americans with Disabilities Act (ADA) of 1990, 42 U.S.C., 12101, *et seq*, and Title 28 of the Code of Federal Regulations, Part 35. The agency shall operate so each service is accessible to and usable by individuals with disabilities.

Agencies may comply with the requirements of this section through such means as redesign of equipment, reassignment of services to accessible buildings, psychotherapy provided at home, delivery of services at alternative accessible sites, alteration of existing facilities, and construction of new facilities.

Agencies must ensure communication with individuals with disabilities is as effective as communication with others without disabilities. To ensure services are provided in the most effective manner, projects may budget with VOCA funds for expenses for telecommunication systems for communicating by telephone; services of signage experts; services necessary to ensure individuals with impaired vision or hearing can obtain information as to the existence and location of accessible services, activities, and facilities.

d) Services to Youth/Adolescents

The sub recipient must demonstrate its ability to work with public or private agencies providing services to youth/adolescents under the AICHAT Program by having current Operational Agreements (OAs) with at a minimum:

- the California Coalition for Youth;
- the California Workforce Investment Board's State or Local Youth Council;
- centers serving the needs of runaway, homeless, and sexually exploited youth; and
- local school(s).

e) Coordination of Services

The sub recipient must have a goal of ensuring the congruency of services, consistency of care, and reduction of duplication of services. To achieve this goal, the sub recipient must demonstrate the ability to proactively collaborate with other service providers serving child victims and their non offending family members by securing OAs with the agencies specified in Part II of this application.

The sub recipient must promote within the community coordinated public and private efforts to aid child victims such as participating on state, federal, local, or American Indian task forces, commissions, working groups, coalitions, and/or multidisciplinary teams.

Coordination of efforts enhances the sub recipient's qualifications to receive VOCA victim assistance funds, but are not activities supported with VOCA funds.

G. PREPARING AN APPLICATION

Part IV - Forms includes an Application Cover Sheet. Please complete the Application Cover Sheet and attach it to the front of the application. Also, refer to the Checklist and Required Sequence page to assist in completing the application.

Please provide the eleven **required** application components in the order listed below:

- Application Cover Sheet;
- Grant Award Face Sheet (OES A301);
- Project Contact Information;
- Certification of Assurance of Compliance;
- Signature Authorization and Instructions;
- Project Narrative;
- Project Budget (OES A303a-c)
- Budget Narrative
- Project Service Information; and
- Application Appendix (refer to Part II, G.).
- Operational Agreement with local victim/witness assistance center

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**AMERICAN INDIAN CHILD ABUSE TREATMENT PROGRAM (AICHAT) PROGRAM
REQUEST FOR APPLICATION**

PART II – INSTRUCTIONS

The instructions in this section correspond to each of the application components and to the forms required to complete the application.

The sub recipient must use the forms provided in *Recipient Handbook, Appendices, and Forms (FORMS)* and plain 8½" x 11" white paper for the application. The blank Project and Budget Narrative pages on the website have been pre-formatted to OES standards. If you create your own computer-generated Project and Budget pages, the format must duplicate the OES pre-formatted pages.

Copies of the application must be assembled separately and individually fastened in the upper left corner. ***Do not bind application.***

A. PROJECT NARRATIVE

The project narrative is the main body of information describing the problem to be addressed, the plan to address the problem through appropriate and achievable objectives and activities, and the ability of the sub recipient to implement the plan.

1. Problem Statement

The sub recipient must update the problem statement specifically indicating what issues continue to exist in reference to the issues identified in the original Request for Proposal.

2. Plan and Implementation

Plan: The sub recipient must show its comprehension of the issues affecting American Indian child victims, providing intensive psychotherapy and/or culturally centered therapy, and describe the methods and conditions of providing mental health treatment to American Indian child victims of maltreatment, including meeting the needs of infants, toddlers, preschoolers, school-aged children, and youth/adolescents using the premise of the best interest of the child as the guiding principle.

The clinical staff (see staff requirements in Part I, Page 2 of this AICHAT Program RFA) **must** have basic clinical skills to assess the impact of trauma, presenting problem(s), develop a diagnosis based on the *Diagnostic and Statistical Manual of Mental Disorders (DSM-IV)* published by the *American Psychiatric Association*, knowledge of differential diagnosis associated with children, and formulation of treatment plans consistent with the diagnosis. These skills must consist of effective treatment interventions, including but not limited to: play therapy, expressive and kinetic therapies, cognitive-behavioral therapy, social learning therapy, and Parent-Child Interaction Therapy (PCIT). These should include the use of standardized assessment instruments, including but not limited to: the Child Behavior Checklist (CBCL), Children's Global Assessment Scale (CGAS), the Global Assessment Relational Functioning (GARF), the Columbia Impairment Scale (CIS), the Trauma Symptom Checklist for Young Children (TSCYC), the Trauma Symptom Checklist for Children (TSCC), the Child Sexual Behavior Inventory (CSBI), the Children's Depression Inventory (CDI), and the Youth Self Report (YSR) to measure treatment outcomes.

The clinical staff must possess a basic understanding of the dynamics of victimization; effects of trauma on children; impact of violence on children; impact of adverse childhood experiences and/or exposures; child development; the impact of trauma on the developmental stage of the child and early brain development; post-traumatic stress disorder symptoms in children and emergence of co-morbid disorders; issues related to attachment, grief, and loss; the stressors of out-of-home placements and the additional traumas consequential of social and legal interventions; working with dependent children of the court; working with children who have a concurrent plan of adoption; the influence of ethnicity and culture on the child; issues related to children with developmental delays and disabilities; the implications for learning and learning disorders; interfacing with school personnel and other collateral contacts; recognition of all public systems and agencies active in the world of the child; the roles of child protective services, law enforcement, prosecutors, the juvenile, family, and/or criminal division of the superior court; and the Child Abuse and Neglect Reporting Act (CANRA).

Services to youth/adolescents who are considered perpetrators/offenders **must not** be provided while they are detained at a youth facility or at home; however, services may be provided upon their release even while on probation. The treatment plan should focus **only** on the youth/adolescents' abuse, maltreatment, and trauma history and not on the criminal/delinquent act.

Services for non-offending family members and/or caregivers may be incorporated into the child victim's treatment plan **only** as an adjunct service by the child's therapist to enhance the therapeutic success for the child and be the direct result of providing services to the child victim. Services under VOCA funds to non-offending family members and/or caregivers are not to be designed to address their own abuse histories or support their participation in self-help groups (e.g., Parents United and Parents Anonymous, parenting classes, etc.).

The sub recipient must describe its proposed service plan incorporating at least the following:

a) Intake

- Source(s) of referrals, the use of Operational Agreements, and other methods to generate referrals and to collaborate with other organizations such as county child welfare services, domestic violence shelters, law enforcement agencies, schools, county district attorneys offices, county juvenile probation department, youth councils, homeless youth and sexual exploitation programs, other community-based agencies, nearest hospital/medical facility, and local victim/witness assistance center;
- Method for handling an initial contact on the telephone or in-person;
- Service delivery or response system to crisis situations and the staff's ability to assess emergency situations;
- Ability to reach the underserved or not served child and youth/adolescent population;
- Ability to provide accessible services to children with disabilities;
- How children with disabilities will be provided appropriate services;

- Methods of ensuring compliance with the CANRA pursuant to Penal Code Sections 11164 -11174.4;
- Methods for handling self-referrals from minors under and over the age of 12;
- Screening process to determine if the needs of the clients fit within the agency's scope of practice;
- Process of gathering relevant background, history of presenting problem, history of symptoms, presence and severity of behavioral symptoms, the nature and the history of the current allegation, and relevant individuals and systems involved in the case; and
- Process for obtaining releases of information and consent forms in order to meet the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule. (HIPAA is the first comprehensive Federal protection for the privacy of personal health information.)

b) Psychotherapy Services

Psychotherapy means the use of psychosocial methods within a professional relationship to: assist the person or persons to achieve a better psychosocial adaptation; acquire greater human realization of psychosocial potential and adaptation; and modify internal and external conditions which affect individuals, groups, or communities in respect to behavior, emotions, and thinking in respect to their interpersonal and interpersonal processes.

1) Assessment

A mental health assessment is conducted by the clinical staff for the purpose of diagnosis and treatment planning; it is not conducted to determine whether a child has been the victim of a crime.

The sub recipient must describe its assessment process including at least:

- The use of standardized psychological assessment and evaluation tools;
- The time frame from initial contact to assessment;
- The ability to assess multilingual and multicultural child victims;
- The ability to assess child victims with disabilities and special needs; and
- The ability to collaborate with county government agencies, and other individuals and service providers involved in the case.

2) Treatment Plan

The treatment plan should include measurable goals and interventions consistent with the diagnosis. The plan should include both trauma-specific treatment interventions and other interventions as required for preexisting problems or co-occurring conditions; frequency and modality of sessions; and treatment interventions such as crisis intervention. Assessment-based

treatment is more likely to be focused and efficient since it provides a psychometric evaluation of client functioning, assists the clinician to identify the therapeutic targets, and supports the development of specific treatment goals.

Information provided by the *Evaluation of the California Child Abuse Treatment Program – Final Report of the California State University, Long Beach-November 2003*, stated the importance of collaborating with other agencies and service providers, particularly with schools. Most child victims reportedly experienced major or persistent problems in school performance and school attendance. It was recommended school-related outcomes and interactions with peers be put forth as items for consideration when formulating a treatment plan.

The sub recipient must describe its treatment process, and include at least:

- Formulation of the child's treatment plan;
- Treatment modalities and therapy tools used by therapists;
- Process to review and revise a child's treatment plan;
- How case conferencing occurs within the agency;
- Process for ongoing assessment of treatment progress and effectiveness;
- Process for consultative and clinical supervision;
- Ability of staff to provide advocacy services and types of advocacy services;
- Roles and duties of sub recipient staff who provide case management services, support services, and the type of support services to be provided in conjunction with the therapy; and
- Process for collaboration with adjunctive services and external systems and coordination among treatment providers.

3) Clinical Documentation

The clinical staff must keep a record to document the treatment of each American Indian child client and maintain the record in a secure storage area. The record helps to ensure proper treatment procedures and serves as evidence of the quality of treatment. Since it is difficult to predict when a record might be accessed, it is always prudent to prepare for the widest range of possibilities (e.g., immediate).

The sub recipient must describe its record keeping and management process, and include at least:

- Process of accessing records;
- Note-taking practices for treatment/process notes for the different stages of treatment and termination, and how to handle changes in therapists; and
- How clinical records will be filed and maintained.

4) Evaluation of Treatment Outcome

Periodic assessment of the child client's psychological and social functioning, including a final assessment at the end of treatment, becomes an important aspect of ongoing clinical care. It is important to evaluate treatment outcome and effectiveness of the therapy. The use of formal assessment instruments allows for the comparison of a given client's pretreatment scores to those at the end of treatment. Such tests allows the clinician to assess whether therapy has significantly reduced victimization-related symptoms, and whether the client's current level of functioning approaches those seen in recovered or non-victimized children. It further allows a determination as to whether treatment has been successful and the child no longer needs clinical services or if additional or different treatment is indicated.

The sub recipient must describe its treatment evaluation process and include at least:

- Instruments used to establish a baseline assessment pre-therapy;
- Instruments used to measure treatment outcome/effectiveness of therapy and/or post-assessment;
- Periodic intervals used by the clinician to evaluate progress of the treatment; and
- Utilization of other resources to establish the effectiveness of therapy.

Please Note: Based on current federal confidentiality laws, it is encouraged the clients' file requested by OES staff during site or monitoring visits is **redacted** via methods designed by the sub recipient agency.

5) Administrative Evaluation

The sub recipient must describe administrative functions to comply with grant guidelines, and include at least:

- Experience in administering previous grants, especially if the agency has had a child abuse treatment program grant (complete form OES 653, Other Funding Sources, to indicate current and/or other grants).
- Ability to perform basic management, accounting functions, and personnel practices;
- Services to assist child victims in their awareness of the availability of the Victim Compensation Program (VCP);

- How services will be coordinated with the local victim/witness assistance center;
- How services will be provided to support, assist, and advocate for child and adolescent victims involved with the juvenile, family, and/or criminal division of the superior court;
- How these services will be coordinated with Court Appointed Special Advocate (CASA) Programs;
- Methods used to recruit and retain volunteers; and
- How volunteers are used to support sub recipient related services.

Implementation: Please ensure to update your agency's most current implementation plan, describing in a narrative format the following:

a) Agency Description

A description of each section was provided in the original AICHAT Program Request for Proposal (RFP) dated April 2004; therefore, the sub recipient needs to include only those sections which have changed from the original application.

- Describe the sub recipient's organization including size, composition, structure, primary mission, philosophy, range of services, and how the AICHAT Program will be incorporated within the organization.
- Describe the organization's knowledge and experience in providing services to child victims of abuse, neglect, and exposure to domestic violence. If the organization operated a child abuse treatment program in previous years, describe this program, and projections to expand and enhance this program.
- Include an organizational chart in the Proposal Appendix showing the location of the AICHAT Program in the organization, including number and names of staff, if known; include duty statements for each of the positions describing responsibilities and qualifications of the staff assigned to the AICHAT Program; and include resumes.
- Include a copy of the non-profit status documentation in the Proposal Appendix.
- In the funding chart (OES 653, Other Funding Sources) list other funds the agency currently receives, showing the sources, amounts, funding periods, and the purpose of the funding. Describe the sub recipient's ability to blend funds from various funding streams (i.e., Medi-Cal; Early Prevention Screening Treatment Diagnosis; Children and Families Commission funds, etc.).
- Identify the funds to be used as the required match. Funds designated as match are restricted to the same uses as VOCA funds. Federal funds

cannot be used to meet the match requirement. VOCA funds must be used to supplement funds for program activities, not replace those funds appropriated for the same purpose. Supplanting is strictly prohibited. Supplanting means to deliberately reduce federal, state, or local funds due to the existence of VOCA funds.

b) Primary Clinical Focus and Range of Services

- Describe the clinical staff's qualifications and ability to treat multiple and co-occurring types of abuse, and address the various needs child victims may present (i.e., language and cultural needs, developmental delays, learning disabilities, residing with parents and/or caregivers who are substance abusers, live in a domestic violent home, and community violent environment).
- Describe the clinical staff's ability to provide various psychotherapy modalities to address the presenting problem(s) of child victims (i.e., trauma-focused treatment, individual, group, play therapy, art therapy, PCIT, etc.).
- Describe the sub recipient's ability to make treatment available and accessible to the range of child victims in the service area.
- Describe the sub recipient's ability to expand current services so treatment services are accessible and available to a larger number of child victims who are underserved or not served in the service area.

c) Operational Agreements (OAs)

- Describe plans for the coordination of services by collaborating with other service providers serving child victims, domestic violence victims, and the efforts to avoid service fragmentation and duplication of services.
- Identify the individual and/or agency providing services, including the roles and responsibilities of each organization under the AICHAT Program; the resources and services each party will contribute to the AICHAT Program; and the resources and services already being provided by each party.

To satisfy this requirement, OES requires a current OA with the county's victim/witness assistance center which must be submitted with this application, using the exact form supplied in *Attachment B*. This document must be current for the grant award cycle and be submitted with original signatures from the sub recipient agency's authorized person to sign the AICHAT Program Grant Award Agreement and the authorized person to sign for the county's victim/witness assistance center.

The following OAs must be effective for the current grant year (FFY2007/08) and signed and dated by the Executive Officer designated by each organization and include the roles and responsibilities of each organization; **these do not need to be submitted with this application –**

please keep on file for readily viewing during a technical/site visit and/or monitoring visit.

1. California Coalition for Youth (CCY);
2. California Workforce Investment Board's State or Local Youth Council;
3. Local law enforcement agencies;
4. Local county hospital or medical treatment facility;
5. Local schools; and
6. County social service departments.

Please Note: OAs covering a three-year period may be secured if both agencies signed these are in agreement. Additionally, OA must include a start and an end date.

Objectives and Activities: This section should describe the sub recipient's plan to address the four mandated objectives, using the **exact wording** of each objective as provided.

For each objective, provide a quantified estimate of the services to be provided during one grant year (use whole numbers only, for example, do not use between 15-20). Discuss the manner in which those services will be provided, and the activities to be performed to support those services. The information provided for each objective must describe the following:

- How the objectives and activities will be achieved within one year of operation;
- How the licensed clinical staff and other support staff are to achieve the stated objectives;
- How the source documentation will be collected and maintained to measure results; and
- How source documentation is defined and records used to validate sub recipient activities and achievements as these pertain to the objectives outlined.

Please Note: Please use the exact wording as provided for each bolded objective heading below

a. Objective 1: Provide Psychotherapy (Treatment) Services

The estimated number of child victims provided psychotherapy services is _____.

For the purpose of the AICHAT Program, this means intensive psychotherapy provided on an outpatient basis to child victims by licensed psychotherapists. (See other criteria for who may provide services in Part I).

AND/OR

The estimated number of child victims who will receive culturally centered therapy is _____.

AND/OR

The estimated number of child victims who will receive both psychotherapy and cultural centered therapy is _____.

b. Objective 2: Assistance in Providing Information on Crime Victim Compensation Services

The estimated number of child abuse victims provided information and referral to the local victim/witness assistance center on crime victim compensation services is _____.

Assistance, via referrals to the local victim/witness assistance center, is to be provided by sub recipient agency staff to **all** child victims. Sub recipient staff should provide information on the availability of the Victim Compensation Program (VCP), explaining the procedure, and refer the child client to the local victim/witness assistance center. It is **not** the sub recipient staff's role to file victim compensation claim applications or to determine eligibility.

c. Objective 3: Assistance in Understanding and in Helping the Child to Prepare for Participating in the Criminal Justice System

The estimated number of child abuse victims referred to the local victim/witness assistance center for services to provide understanding and participation in the criminal justice system is _____.

d. Objective 4: Use of Volunteers

1. What is the Full Time Equivalency (FTE) of the volunteers who assist in the execution of the project? _____

2. Number of volunteers who have completed the required 40-hour training:

The volunteer FTE must equate to at least one FTE dedicated to the AICHAT Program project.

B. ALLOWABLE AND NON ALLOWABLE VOCA COSTS

Please Note: The AICHAT Program is designed to provide direct services to the American Indian child victims of abuse. Services under this program are child centered and child specific. Services to non offending family members and/or care providers must solely be in support of the child's treatment plan and to help the child recover from the trauma of the abuse.

1. Allowable Costs And Services

a) Immediate Health and Safety

Services which respond to the immediate emotional and physical needs (excluding medical care) of crime victims such as crisis intervention; accompaniment to hospitals for medical examinations; hotline counseling; emergency food, clothing, transportation, and shelter (including emergency, short-term nursing home shelter for elder abuse victims for whom no other safe, short-term residence is available); and other emergency services intended to restore the victim's sense of security. This includes services, which offer an immediate measure of safety to crime victims such as boarding-up broken windows and replacing or repairing locks.

Emergency legal actions such as filing restraining orders and obtaining emergency custody/visitation rights when such actions are directly connected to family violence cases and are taken to ensure the health and safety of the victim are allowable.

b) Mental Health Assistance

Services and activities to assist the primary and secondary victims of crime in understanding the dynamics of victimization, and in stabilizing their lives after victimization such as counseling, group treatment, and therapy. "Therapy" refers to intensive professional psychological/psychiatric treatment for individuals, couples, and family members related to counseling to provide emotional support in crises arising from the occurrence of crime. This includes the evaluation of mental health needs, as well as the actual delivery of psychotherapy.

c) Assistance with Participation in Criminal Justice Proceedings

In addition to the cost of emergency legal services noted in section II.B.1, "Immediate Health and Safety," there are other allowable costs associated with supporting victims' participation in the criminal justice system. These services include advocacy on behalf of crime victims; accompaniment to criminal justice offices and court; transportation to court; child care or respite care to enable a victim to attend court; notification of victims regarding trial dates, case disposition information, and parole consideration procedures; and assistance with victim impact statements. VOCA funds cannot be used to pay for non-emergency legal services such as divorces, or civil restitution recovery efforts.

Please Note: Under the AICHAT Program, victims must be referred to the local victim/witness assistance center for these services.

d) Forensic Examinations

Forensic exams are allowable costs only to the extent other funding sources (such as state compensation or private insurance or public benefits) are unavailable or insufficient and, such exams conform to state evidentiary collection requirements.

e) Costs Necessary and Essential to Providing Direct Services

Prorated costs of rent, telephone service, cost of transportation for victims to receive services, emergency transportation costs enabling a victim to participate in the criminal justice system, and local travel expenses for service providers.

f) Special Services

Services to assist crime victims with managing practical problems created by the victimization such as acting on behalf of the victim with other service providers, creditors, or employers; assisting the victim to recover property to retain as evidence; assisting in filing for compensation benefits; and helping to apply for public assistance.

g) Personnel Costs

Costs directly related to providing direct services such as staff salaries and fringe benefits, including malpractice insurance (liability insurance is not an allowable VOCA cost); the cost of advertising to recruit VOCA-funded personnel; and the cost of training for paid and volunteer staff.

h) Restorative Justice

Facilitate opportunities for crime victims to meet with perpetrators, when such meetings are requested or voluntarily agreed to by the victim and have possible beneficial or therapeutic value to crime victims.

AICHAT Program projects planning to fund this type of service should closely review the criteria for conducting these meetings, and receive prior approval from OES. At a minimum, the following should be considered: (1) the safety and security of the victim; (2) the benefit or therapeutic value to the victim; (3) the procedures for ensuring participation of the victim and offender are voluntary and everyone understands the nature of the meeting; (4) the provision of appropriate support and accompaniment for the victim; (5) appropriate “debriefing” opportunities for the victim after the meeting or panel; (6) the credentials of the facilitators; and (7) the opportunity for a crime victim to withdraw from the process at any time. VOCA assistance funds cannot be used for victim-offender meetings, which serve to replace criminal justice proceedings.

2. Other Allowable Costs and Services

The services, activities, and costs listed below are not generally considered direct crime victim services, but are often a necessary and essential activity to ensure quality direct services are provided. Before these costs can be supported with VOCA funds, the state grantee and project (sub recipient) must agree direct services to crime victims cannot be offered without support for these expenses; the project has no other source of support for them; and only **limited amounts** of VOCA funds will be used for these purposes. The following provides examples of such items:

a) Skills Training for Staff

VOCA funds designated for training are to be used exclusively for developing the skills of direct service providers, including paid staff and volunteers to better able them to offer quality services to crime victims. An example of skills development is training focused on how to respond to a victim in crisis.

VOCA funds may be used for training both VOCA-funded and non-VOCA-funded service providers who work within a VOCA funded organization, but VOCA funds cannot be used for management and administrative training for executive directors, board members, and other individuals not providing direct services.

b) Training Materials

VOCA funds may be used to purchase materials such as books, training manuals, and videos for direct service providers within the VOCA-funded organization, and can support the costs of a trainer for in-service staff development. Staff from other organizations can attend in-service training activities held for the project’s staff.

c) Training Related to Travel

VOCA funds may support costs such as travel, meals, lodging, and registration fees to attend training within the state or a similar geographic area. This limitation encourages projects to first look for available training within their immediate geographical area, as travel costs will be minimal. However, when needed training is unavailable within the immediate geographical area, OES may authorize projects using VOCA funds to support training outside of the geographical area. For example, VOCA funded projects may

benefit by attending national conferences offering skills building training workshops for victim assistance providers.

d) Equipment and Furniture

VOCA funds may be used to purchase furniture and equipment to provide or enhance direct services to crime victims, as demonstrated by the VOCA funded project. VOCA funds cannot support the entire cost of an item not used exclusively for victim-related activities. However, VOCA funds can support a prorated share of such an item. In addition, project can not use VOCA funds to purchase equipment for another organization or individual to perform a victim-related service. Examples of allowable costs may include beepers; typewriters and word processors; videotape cameras and players for interviewing children; two-way mirrors; and equipment and furniture for shelters, work spaces, victim waiting rooms, and children's play area.

e) Purchasing or Leasing Vehicles

VOCA funds may be used to purchase or lease vehicles if it can demonstrate to the state VOCA administrator is essential for delivering services to crime victims. Prior approval must be obtained from OES for such purchases.

f) Advanced Technologies

VOCA funds may be used to purchase computers if such equipment increases a project's ability to reach and serve crime victims. For example, automated victim notification systems have dramatically improved the efficiency of victim notification and enhanced victim security.

Projects must describe how the computer equipment will enhance services to crime victims; how it will be integrated into and/or enhance the project's current system; the cost of installation; the cost of training staff to use the computer equipment; the ongoing operational costs, such as maintenance agreements, supplies; and how these additional costs will be supported. Property insurance is an allowable expense as long as VOCA funds support a prorated share of the cost of the insurance payments.

g) Contracts for Professional Services

VOCA funds generally should not be used to support contract services. At times, however, it may be necessary for VOCA funded projects to use a portion of the VOCA grant to contract for specialized services. Examples of these services include assistance in filing restraining orders or establishing emergency custody/visitation rights (the provider must have a demonstrated history of advocacy on behalf of domestic violence victims); forensic examinations on a sexual assault victim to the extent other funding sources are unavailable or insufficient; emergency psychological or psychiatric services; or sign and/or interpretation for the deaf or for crime victims whose primary language is not English. Projects are prohibited from using a majority of VOCA funds for contracted services which contain administrative, overhead and other indirect costs included in the hourly or daily rate.

h) Operating Costs

VOCA funds may be used to purchase supplies necessary for the provision of direct services such as equipment use fees when supported by usage logs; printing,

photocopying, postage; brochures which describe available services; and books and other victim-related materials.

VOCA funds may be used to support administrative time to complete VOCA required time and attendance sheets and programmatic documentation, reports, and statistics; administrative time to maintain crime victims' records; and the prorated share of audit costs.

i) Supervision of Direct Service Providers

VOCA funds may be used for supervision of direct service providers when determined such supervision is necessary and essential to providing direct services to crime victims. For example, VOCA funds used to support a coordinator of volunteers or interns is a cost-effective way of serving more crime victims.

j) Repair and/or Replacement of Essential Items

VOCA funds may be used for repair or replacement of items contributing to maintaining a healthy and/or safe environment for crime victims, such as a furnace in a shelter. In the event a vehicle is purchased with VOCA funds, related items such as routine maintenance and repair costs and automobile insurance are allowable. Projects must ensure the following: (1) the building or vehicle is owned by the organization and not rented or leased; (2) other sources of funding have been exhausted; (3) there is no available option for providing the service in another location; (4) the cost of the repair or replacement is reasonable considering the value of the building or vehicle; and (5) the cost of the repair or replacement is prorated among all sources of income.

k) Public Presentations

VOCA funds may be used to support presentations made in schools, community centers, or other public forums, and are designed to identify crime victims and provide or refer them to needed services. Specifically, activities and costs related to such programs including presentation materials, brochures, and newspaper notices can be supported by VOCA funds.

3. Non-Allowable Costs and Activities

The following services, activities, and costs, although not exhaustive, cannot be supported with VOCA funds:

a) Lobbying and Administrative

VOCA funds cannot support victim legislation or administrative reform, whether conducted directly or indirectly.

b) Perpetrator Rehabilitation and Counseling

VOCA funds cannot be used to offer rehabilitative services to offenders. Likewise, VOCA funds cannot support services to incarcerated individuals, even when the service pertains to the victimization of the individual.

c) Needs Assessments, Surveys, Evaluations, Studies

VOCA funds cannot not be used to pay for efforts conducted by individuals, organizations, task forces, or special commissions to study and/or research particular crime victim issues.

d) Prosecution Activities

VOCA funds cannot be used to pay for activities directed at prosecuting an offender and/or improving the criminal justice system's effectiveness and efficiency such as witness notification and management activities and expert testimony at a trial. In addition, victim/witness protection costs and subsequent lodging and meal expenses are considered part of the criminal justice agency's responsibility and cannot be supported with VOCA funds.

e) Fundraising Activities

VOCA funds cannot be used for fundraising.

f) Indirect Organizational Costs

VOCA funds cannot be used to pay for the costs of liability insurance on buildings, capital improvements, security guards and bodyguards, property losses and expenses, real estate purchases, mortgage payments, and construction.

g) Property Loss

VOCA funds cannot be used for reimbursing crime victims for expenses incurred as a result of a crime such as insurance deductibles, replacement of stolen property, funeral expenses, lost wages, and medical bills.

h) Most Medical Costs

VOCA funds cannot pay for nursing home care (emergency short-term nursing home shelter as described in section II.B.1, "Immediate Health and Safety," is allowable), home healthcare costs, inpatient treatment costs, hospital care, and other types of emergency and non-emergency medical and/or dental treatment. VOCA funds cannot support medical costs resulting from an incident of victimization except for forensic medical examinations for sexual assault victims.

i) Relocation Expenses

VOCA funds cannot support relocation expenses for crime victims such as moving expenses, security deposits on housing, ongoing rent, and mortgage payments. However, VOCA funds may be used to support staff time in locating resources to assist victims with these expenses.

j) Administrative Staff Expenses

VOCA funds cannot support salaries, fees, and reimbursable expenses associated with administrators, board members, executive directors, consultants, coordinators, and other individuals unless these expenses are incurred while providing direct services to crime victims.

k) Development of Protocols, Interagency Agreements, and Other Working Agreements

VOCA funds cannot support these activities although these benefit crime victims. These activities are considered examples of the types of activities projects undertake as part of their role as a victim services organization, which in turn qualifies them as an eligible VOCA funded project.

l) Costs of Sending Individual Crime Victims to Conferences

VOCA funds cannot be used to send crime victims to conferences.

m) Activities Exclusively Related to Crime Prevention

VOCA funds cannot be used for activities exclusively related to crime prevention.

C. ADMINISTRATIVE REQUIREMENTS

AICHA Program projects must adhere to additional state and federal requirements such as compliance with: civil rights, equal employment opportunity, and drug free workplace policies; *Recipient Handbook* requirements outlining the terms and conditions of grant funded projects such as maintaining written personnel policies; and the laws and regulations applicable to clinicians licensed by the Board of Behavioral Sciences or the Board of Psychology such as what constitutes unprofessional conduct, updates of license requirements, etc.

D. CONFIDENTIALITY OBLIGATIONS; CHILD ABUSE AND NEGLECT REPORTING ACT REQUIREMENTS

The ethical obligation to protect confidentiality applies regardless of age to child clients. Confidential information cannot be revealed to outsiders unless written consent is obtained or there is a judicial order for disclosure of client Information. California's child abuse reporting law overrides privilege and the ethical duty to maintain confidentiality; however, when complying with the reporting law, disclose only as much confidential information needed to comply with the reporting obligation.

The California Confidentiality of Medical Information Act (CMIA), found at *Civil Code Section 56*, applies to mental health records; professionals may not disclose information regarding clients without properly signed and dated authorization. When the client is a minor, parents usually have authority to consent to release of information. In circumstances where a minor has legal authority to consent to care, the minor has legal authority to consent to disclosure of information. Agencies must have a confidentiality policy and provide a copy to each staff member and volunteer who must sign a confidentiality agreement; the agency must retain a signed copy in their personnel file.

1. CANRA - Obligations of the Agency Employing Mandated Reporters

Employees of public and private organizations identified as mandated reporters must comply with the mandated reporting requirements of the Child Abuse and Neglect Reporting Act (CANRA).

The agency must provide to employees defined to be mandated reporters with a written statement which informs them of their status as mandated reporters, their reporting obligations,

and their confidentiality rights. The *California Penal Code Sections 11164 – 11174.4*, known as CANRA, are available on www.leginfo.ca.gov by selecting **California Laws**.

2. Suspected Child Abuse Report Form

The *Suspected Child Abuse Report Form SS-8572* is available from the Attorney General's Office at its website: [//caag.state.ca.us](http://caag.state.ca.us)

The California Child Abuse and Neglect Reporting Law – Condensed Version (2003) is available at www.safestate.org by selecting **Focus Areas – Child Abuse – Resources**.

E. PROMOTE COMMUNITY EFFORTS TO AID CRIME VICTIMS

The agency must promote coordinated public and private efforts to aid child victims within the community served by the AICHAT Program. Since the various types of services needed by child victims of crime are usually provided by a variety of agencies, it is essential these services be coordinated ensuring continuity of support to the victims and avoid duplication of effort. **Although coordinating efforts qualifies an organization to receive VOCA funds, these activities are not activities supported with VOCA funds.**

F. PROJECT BUDGET

The purpose of the project budget is to demonstrate how the sub recipient will implement the proposed plan with the funds available through this program. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds when applicable. The sub recipient may supplement grant funds with funds from other sources. However, since approved line-items are subject to audit, the sub recipient should not include in the project budget matching funds (if applicable) in excess of the required match. Budgets are subject to OES modifications and approval.

OES requires the sub recipient to develop a **line-item** budget, which will enable the project to meet the intent and requirements of the program, ensure the successful and cost effective implementation of the project. Failure of the sub recipient to include required items in the budget does not eliminate responsibility to comply with those requirements during the implementation of the project. The sub recipient should refer to the *Recipient Handbook* at www.oes.ca.gov. Select "*Recipient Handbook, Appendices, and Forms*" for additional information concerning OES budget policy or to determine if specific proposed expenses are allowable. Contact the person listed on Part 1, subsection B of this RFA should you have additional budget questions.

1. Budget Narrative

The sub recipient is required to submit a narrative with the project budget. The narrative must be typed and placed in the application in front of the budget pages. In the narrative describe:

- How the sub recipient's proposed budget supports the objectives and activities.
- How funds are allocated to minimize administrative costs and support direct services.
- The duties of project-funded staff, including qualifications or education level necessary for the job assignment. This does not take the place of the brief justification required in the line item budget.

- How project-funded staff duties and time commitments support the proposed objectives and activities.
- Proposed staff commitment/percentage of time to other efforts, in addition to this project.
- The necessity for subcontracts and unusual expenditures.
- Mid-year salary range adjustments.

2. Specific Budget Categories

There is an Excel Workbook in *Recipient Handbook, Appendices and Forms* ([FORMS](#)) with spreadsheets for each of the following three budget categories:

- Personal Services – Employee Salaries/Benefits;
- Operating Expenses; and
- Equipment.

The left column of each budget category on the Spreadsheet requires line-item detail including the calculation and justification for the expense. You may delete columns that do not apply. Enter the amount of each line item and match in the correct column of the Budget Category form. The spreadsheet will add each addition and round off the nearest whole dollar. You may add extra rows if necessary, the spreadsheets total at the end of each budget category and total the three spreadsheets at the bottom of the last page (Equipment). The total of the budget including each funding source and/or match amount must correspond to the amount of the Total Project Cost (block 10G) on the Grant Award Face Sheet.

OR

The following applies if you are typing or printing the budget in Microsoft Word document. Each budget category requires line-item detail including the method of calculation and justification for the expense. Enter the amount of each line item in the right hand column of the Budget Category form. Charges must be clearly documented **and rounded up to the nearest whole dollar**. Enter the total amount of the budget category at the bottom of the form. If additional pages are needed, total only the last page of each budget category. The total of the budget including each funding source and/or match amount must correspond to the amount of the Total Project Cost (block 10G) on the Grant Award Face Sheet. Additionally, the totals from each funding source or match must correspond to the Grant Award Face Sheet.

The bottom of the Equipment Category form contains a format for identifying the project total and fund distribution. This section must be completed and submitted even if there are no line items identified in the equipment category.

a. Personal Services – Salaries/Employee Benefits (OES A303a):

1) Salaries

Personal services include services performed by project staff directly employed by the sub recipient and must be identified by position and percentage of salaries. These may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must be budgeted as salaries. If

the sub recipient's personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take time off using project funds. Salaries for staff not directly employed by the sub recipient must be shown as participating staff (see *Recipient Handbook*, Section 4500) the Operational Expenses Category. Consultant services remain under Operating Expenses (refer to Part II, B.2.b. - Operating Expenses - paragraph two.)

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

2) Benefits

Employee benefits must be identified by type and percentage of salaries. The sub recipient may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the sub recipient.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms or California Bar Association dues, are allowable budget items if negotiated as a part of an employee benefit package.

b. Operating Expenses (OES A303b):

Operating expenses are defined as necessary expenditures other than personal salaries, benefits, and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award), and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors, participating staff who are not employed by the sub recipient, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with an acquisition cost of less than \$5,000 per unit (including tax, installation, and freight) and/or with a useful life of less than one year fall within this category. Otherwise these call under equipment expenses.

Salaries for staff not directly employed by the sub recipient must be shown as consultant and/or participating staff costs (whichever is applicable per *Recipient Handbook* Sections 3710 and 4500) under the Operating Expenses category. These costs must be supported by an Operational Agreement (OA), which must be kept on file by the sub recipient and made available for review during an OES site visit, monitoring visit, or audit. In the case of grants being passed through a sub recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses category.

c. Equipment (OES A303c):

Equipment is defined as nonexpendable tangible personal property having ***a useful life of more than one year*** and an acquisition cost of \$5,000 or more per unit (including tax, installation, and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

G. APPLICATION APPENDIX

The Application Appendix provides OES with additional information from the sub recipient to support components of the application. The following must be included:

- Operational Agreements: *OAs must contain original signatures, titles, and agency names for both parties and include beginning and end dates effective for the proposed grant period.* This document must demonstrate a formal system of networking and coordination with other agencies and the sub recipient. The OA with the local victim/witness assistance center must be attached to the application (see Attachment B), while the other OAs must be on file at the agency. A sample OA is provided in *Recipient Handbook, Appendices, and Forms* ([FORMS](#)) for all other required OAs.
- Additional Signature Authorization.
- Project Summary
- Noncompetitive Bid Request, if applicable
- Out-of-State Travel Request, OES 700, if applicable
- Emergency Fund Procedures, if applicable
- Other Funding Sources OES 653
- Prior, Current, and Proposed OES Funding
- Project Service Area Information
- Computer and Automated Systems Purchase Justification Guidelines
- Organizational Chart (include title, number of positions, name, degree, license number—if available)
- Duty statements of each position identified in the AICHAT Program budget narrative stating responsibilities and job functions; and
- Resumes for all AICHAT Program personnel, including administrative positions, identified in the budget narrative.

AMERICAN INDIAN CHILD ABUSE TREATMENT PROGRAM REQUEST FOR APPLICATION

PART III – ADDITIONAL INFORMATION

The sub recipient is strongly encouraged to review the following sections in preparing the application.

- A. Finalizing the Grant Award Agreement
- B. Administrative Requirements
- C. Budget Policy
- D. Glossary of Terms

A. FINALIZING THE GRANT AWARD AGREEMENT

1. Standard Project Funding Authority

Allocation of funds is contingent on the enactment of the State Budget. OES does not have the authority to disburse funds until the budget is passed and the Grant Award Agreement is fully executed. Expenditures incurred prior to authorization are made at the project's own risk and may be disallowed. When the executed grant is received, and the State Budget is finalized, authorized expenditure reports may be submitted for reimbursement of expenditures incurred subsequent to the effective date of the grant award agreement.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, OES may immediately terminate or reduce the grant award by written notice to the recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the recipient to the extent state or federal funds are available for payment of such costs.

OES Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Grant Award Agreement.

2. Grant Award Conditions

OES may add one or more grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, they will be discussed with the sub recipient and a copy of the conditions will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or other requirements deemed necessary by OES.

3. Grant Award Agreements

A copy of the executed Grant Award Agreement and pertinent attachments will be sent to the Project Director. The recipient is not authorized to incur costs against the grant until a copy of the fully executed Grant Award Agreement is received. When the executed grant is received and the State Budget is finalized, the Report of Expenditures and Request for Funds (OES 201) may be submitted for reimbursement.

4. Grant Award Amounts

When the amount of funds available is limited, OES may reduce the amount of the grant award from the amount requested by the sub recipient. In addition, OES reserves the right to negotiate budgetary changes with the sub recipient prior to executing the Grant Award Agreement. If either of these actions is required, OES will notify the sub recipient prior to executing the Grant Award Agreement.

B. ADMINISTRATIVE REQUIREMENTS

1. The Recipient Handbook (RH)

The *Recipient Handbook* is accessible on the OES Internet website at www.oes.ca.gov by selecting “*Recipient Handbook, Appendices and Forms*.” The *Recipient Handbook* contains administrative information and requirements necessary to implement the project. Recipients must administer their grants in accordance with the *Recipient Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

The information below may be cross referenced with the *Recipient Handbook* (RH) by referencing the handbook section number.

2. Internet Access (RH 11500)

Funded projects are required to maintain Internet access with an established e-mail address. Grant funds may be used for this purpose unless specifically prohibited by the terms of the program.

3. Progress Reports and Data Collection (RH 10100)

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document the information reported in the progress reports. The records must be kept by the project for a period of three years. During site/monitoring visits, OES will review these records for accuracy and compare them with the reported data submitted on the progress reports.

4. Monthly/Quarterly Report of Expenditures and Request for Funds (OES 201) (RH 6300)

Community-based organizations shall submit a monthly Report of Expenditures and Request for Funds (OES 201) unless they request a quarterly reporting period. Government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting the form OES 201 will result in the withholding of funds and may result in the recommendation to OES' Executive Director for termination of the grant award.

5. Technical Assistance/Site Visits (RH 10300)

Funding projects are assigned an OES program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program specialists are available to assist the project in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. New projects should expect a site visit from the assigned program specialist within the first

six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance.

6. Monitoring Requirements (RH 10400)

A monitoring visit is an onsite assessment by OES staff to determine if the project is in compliance with the terms of the program, the Grant Award Agreement, the Program Guidelines, the RFA/RFP, and the *Recipient Handbook*. Projects will be monitored on a random or as-needed basis.

7. Bonding Requirements (RH 2160)

Private community-based organizations (CBO) and American Indian organizations are required to obtain and send to OES a notarized copy of a blanket fidelity bond or equivalent insurance contract applicable to officials and employees of OES-funded projects within 60 days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State of California, Governor's Office of Emergency Services" and include the Grant Award number for identification purposes.

The time period covered by the bond must include the effective date and time period of the grant, including extensions. The bond must be in an amount equal to 50 percent (50%) of the total grant award and may have a deductible in an amount not to exceed one percent (1%) of the bond.

A bond is not required of a recipient sponsored by units of government. CBOs sponsored by units of government may submit documentation indicating this in lieu of the bond or insurance contract, unless specifically required terms of the program or grant award conditions.

8. Audit Requirements (RH 8100)

Recipients must arrange for an independent audit of the grant award and may budget a portion of the audit costs. Instructions for budgeting funds for audit costs are outlined in the *RH* Section 2234.

9. Copyrights, Rights in Data, and Patents (RH 5300)

OES owns rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the *Recipient Handbook*.

10. Source Documentation (RH 10111)

Recipients are required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements as pertaining to the objectives outlined in the Grant Award Agreement. Recipients are to retain source documentation for progress reports on a quarterly basis regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the terms of the program. Recipients will be required to have written job descriptions on file for positions funded by OES detailing specific grant-related activities to achieve project objectives.

C. **BUDGET POLICY**

This document summarizes information on OES Budget Policy contained in the *Recipient Handbook*. Additional information may be obtained by accessing the *Recipient Handbook* at www.oes.ca.gov by selecting “*Recipient Handbook, Appendices and Forms.*”

1. **Supplanting Prohibited (RH 1313)**

Grant funds must be used to supplement existing funds for program activities and ***not replace*** funds appropriated for the same purpose. A written certification must be provided to OES indicating the grant funds will not be used to supplant existing funds. Supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are found in Section 1313 of the *Recipient Handbook*.

2. **Project Income (RH 6610)**

Project income such as client fees and fees for services provided by the project (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money, must be used to offset or augment the grant unless otherwise specified in the RFA instructions. Project income cannot be used as matching funds unless otherwise specified in the RFA instructions.

3. **Contract and Procurement (RH 3400)**

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored. Noncompetitive bid request approval by OES program staff is required prior to the purchase of equipment in excess of \$5,000, or to hire a specific consultant charging over \$5,000. Local units of government may use their approved procurement policy except for contracts over \$50,000, which requires prior OES approval. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a noncompetitive bid request will be required. OES will provide assistance in submitting a noncompetitive bid request if OES determines it is in the best interest of the project. These procedures do not apply to funds shared with participating agencies under the terms of an Operational Agreement (see Section 4500, *Recipient Handbook*).

4. **Match Policies (RH 6500)**

The RFA Instructions (Part II) may specify a cash or in-kind match. When used to augment the project, expenditures for items such as Personal Services, Operating Expenses, or Equipment are considered match if not in violation of the prohibition on supplanting. Match specified in the budget will become part of the grant award. (Specific instructions for calculating the match are provided in Sections 6550 – 6550.2 of the *Recipient Handbook*.)

5. **Travel Policies**

The following is OES' current travel policy:

a. Selection of Travel Policy (RH 2236)

The sub recipient may prepare the budget using its own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

1) Units of Government

Units of government may use their own written travel policy or the state policy.

2) Community-Based Organizations (CBO)

A community-based organization may use the state travel policy or the sub recipient's written policy up to the maximum rates allowed by the state travel policy.

b. State Travel Policy (RH 2236.2)

Use the following state travel policy for budgeting travel expenses:

1) Out-of-State Travel

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel must be submitted for OES approval.

2) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 48.5 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the application.

3) Meals and Incidentals

a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 8:00 a.m.

b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 4:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total Per Diem

Total is \$40.00 for a 24-hour period.

4) Lodging

The maximum allowed lodging rate is \$84.00, plus applicable taxes (except as noted below). Lodging receipts are required for reimbursement.

5) Special Lodging Rates

The maximum allowed lodging rate in Los Angeles and San Diego counties is \$110, plus applicable taxes. The maximum for Alameda, San Francisco, San Mateo, and Santa Clara counties is \$140, plus applicable taxes.

6) Other

Taxi, airport shuttle, etc. which exceed \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

6. Participating Staff

The term “participating staff” refers to salaried employees of a participating agency assigned to work with the recipient on the implementation of project. The agreement between the recipient and the participating agency concerning participating staff must be reflected in the OA. Grant related costs associated with participating staff must be itemized in the operating expenses category of the grant budgets.

7. Consultant Services (RH 3710)

Consultant services are provided on a contractual basis by individuals or organizations not direct employees of the sub recipient (see *Personal Services – Salaries*). Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations meeting some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the sub recipient;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or,
- have no agency management or oversight responsibilities directed toward the financial success or direction of the agency.

a. Rates

The maximum rate for independent contractors is \$250 per hour (excluding travel and subsistence costs). A request for compensation for over \$250 per hour requires **prior approval** and additional justification.

1) Independent Contractors Employed by State and Local Government

Compensation for independent contractors will be allowed when the unit of government can not provide services without this cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. Expert Witness Fees (RH 3710.2)

Projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the project may only be charged for costs above what the jurisdiction is required to cover. The maximum allowable rate for witness fees is \$250 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent (10%) of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- qualifications, training, and experience of the expert(s). Include a statement regarding recognition by the court of the individual as an expert;
- specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW), Marriage and Family Therapist (MFT), Medical Doctor (MD)];
- rate of pay per hour, including documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay with a cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony);
- proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation);
- justification for why this cost cannot be paid with county funds (attach the justification to OES A303b).

8. Facility Rental (RH 2232)

Up to \$21 per square foot annually (\$1.75 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the application.

a. Rental Space for Training and Counseling Rooms

Rental space for training and individual and/or group counseling rooms may also be charged to the grant providing the charge is based on actual costs and not reimbursed by other source.

9. Rented or Leased Equipment (RH 2233)

An explanation and cost analysis is required when equipment rented or leased. This analysis must demonstrate it is more cost-effective to rent or lease the equipment than it is

to purchase it, and must be approved by OES prior to the execution of a rental or lease agreement.

10. Indirect Costs/Administrative Overhead (RH 2220)

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding ten percent (10%) of personnel salaries (excluding benefits and overtime) or five percent (5%) of total direct project costs (excluding equipment) may be budgeted by the sub recipient for indirect costs if allowable by the funding source.

11. Audits (RH 8150)

OES projects expending \$25,000 or more of OES grant awards are required to complete and audit. The project may budget for the cost of obtaining a financial audit. Allowable audit costs are as follows:

- if the total amount of the grant is less than or equal to \$150,000, the project may budget up to \$2,000 for the financial audit cost; or
- if the total amount of the grant is greater than \$150,000, the project may budget up to one and a half percent (1.5%) of the total grant for financial audit costs.

12. Equipment (RH 2300)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laser jet printers should be one line item, not three).

a. Allowable Expenses

Equipment may be budgeted if it is essential to the implementation of the project and to be used solely for project activities. Grant funds may not be used to reimburse the project for equipment already purchased.

Rented or leased equipment must be budgeted as an Operating Expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness. Prior approval by OES is required.

b. Computers (RH 2340)

1) Community-Based Organization (RH 2242.1)

Community-based organization may budget up to \$25,000 in computer equipment, software, and related costs. OES will evaluate the proposed purchase on the basis of grant-related need. Prior approval by OES is required. The Recipient will be sent instructions for preparing the justification.

2) Units of Government (RH 2342.2)

Units of government may budget for computer equipment, software, and related costs. OES will evaluate the proposed purchase on the basis of grant-related need. OES must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required. The Recipient will be sent instructions for preparing the justification.

3) Computer Purchase Justification (RH 2341)

Approval for purchases of computers and automated equipment is contingent on the sub recipient's ability to demonstrate cost-effective, project-related need which is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. The Recipient will be sent instructions for preparing the justification.

c. Automobiles (RH 2331)

Automobiles are not allowable items unless permitted by the terms of the program. If an automobile is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for the automobile, including the size of service area, the need to provide direct service away from the office, and the reason why the agency will not allow personal automobiles usage during work hours. A cost analysis for automobile purchase as compared to other options including lease and personal automobile use and mileage, must be done and kept on file for review by OES's program staff during a site visit, monitoring visit, and/or audit.

13. Prohibited Expense Items (RH 2240)

a. Lobbying (RH 2242)

Refer to RH 2242.1 for an extensive list of prohibited activities.

b. Fundraising (RH 2243)

OES grant funds cannot be used for organized fundraising including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

c. Real Property and Improvements (RH 2244)

Real property including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless authorized in the RFA instructions.

d. Interest (RH 2245)

The cost of interest payments is not an allowable expenditure unless the cost is a result of a lease/purchase agreement.

e. Food and Beverages (RH 2246)

The cost of food and/or beverages at grant-sponsored conferences, meetings, or office functions is not an allowable expenditure.

f. Weapons and Ammunition (*RH 2247*)

The cost of weapons and/or ammunition of any type are not an allowable expenditures unless they are part of a governmental negotiated benefit package or are specifically authorized in the RFA instructions.

g. Membership Dues (*RH 2248*)

The cost of membership dues for the licensing or credentialing of professional personnel is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFA instructions.

h. Professional License (*RH 2248*)

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFA instructions.

i. Annual Professional Dues or Fees (*RH 2248*)

The cost of professional dues or fees are not allowable expenditures unless it is part of a governmental negotiated benefit package or are specifically authorized in the RFA instructions.

j. Charges, Fees and Penalties (*RH 2245*)

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

k. Depreciation (*RH 2249*)

Equipment costs may not include additional costs calculated for depreciation.

GLOSSARY OF TERMS

Term	Definition
Activity	The specific steps or action a project takes to achieve a measurable objective.
Application	Once selected for funding, the original proposal and additional forms as required by OES becomes the application. This application, once signed by the OES director or designee and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement.
Community-Based Organization (CBO)	A documented, tax exempt, nonprofit, public benefit corporation serving the community. This term is used synonymously with nonprofit organization.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan analyzing the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender.
EEOP Guidelines	Extensive description of state and federal civil rights requirements and what constitutes an EEOP (samples, forms, etc.). The document was prepared to assist recipients in ensuring nondiscrimination and in the development, implementation, and/or improvement of their EEOP for compliance with the law.
Grant Award/Grant Award Agreement	The signed agreement between OES and the local government agency or organization authorized to accept grant funding.
Grant Award Forms	The forms needed to prepare an application or proposal. They may be accessed on the OES website under " <i>Recipient Handbook, Appendices and Forms</i> " (FORMS)
Grant Funding Cycle	The number of years a program may be funded without soliciting a new competitive Request for Proposal. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the Request for Proposal (RFP) or the Request for Application (RFA) which the project narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (OES A301).
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).
Noncompetitive Bid Contract	A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. (Contracts sometimes include goods as well as services, and this definition will also apply to those circumstances.)
Nonprofit Organization	A documented, tax exempt, nonprofit, public benefit corporation serving the community. The term is used synonymously with CBO.
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.

Term	Definition
Operational Agreement (OA)	A formal agreement between two agencies which specifies the responsibilities of each agency in implementing the project, including the transfer of grant funds when appropriate. This includes MOUs, Letters of Intent, etc.
Participating Agency	An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization.
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of law enforcement or victim services and supported by an appropriation from state or federal funding sources.
Program Guidelines	The instructions concerning the programmatic and administrative requirements unique to a particular OES grant-funded program.
Project	The implementation of a program's goals and objectives by a funded state or local government agency or CBO.
Proposal	The packet of information and forms required by the RFP and submitted to OES which specifies the priorities, strategies and objectives of the applicant.
Recipient	The agency or organization designated on the Grant Award Face Sheet which receives the grant funds and who will be responsible for accomplishing the planned objectives and program goals (e.g., County of Alameda, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau).
Recipient Handbook	This handbook outlines the administrative and fiscal terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these conditions. The <i>Recipient Handbook</i> is accessible on the OES website at www.oes.ca.gov by selecting "Recipient Handbook, Appendices, and Forms."
Request for Application (RFA)	The RFA is a packet of instructions and forms issued by OES to obtain applications from applicants through a noncompetitive process.
Request for Proposal (RFP)	The RFP is a packet of instructions and forms issued by OES to solicit competitive proposals in order to select projects for funding.
Supplanting	Supplanting is the deliberate reduction of federal, state, or local funds due to the existence of OES funds thereby reducing the total amount available for the stated purpose.
Terms of the Program	The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], grant award agreement, OES policy statements, and applicable statutes. In the event the terms of the program are inconsistent with the provisions of this handbook, the terms of the program shall be interpreted and construed as superseding the provisions of this handbook.